

# attached to Interview Summary



PTO/SB/08A (10-01)

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
(use as many sheets as necessary)

Sheet 1 of 8

**Complete If Known**

Application Number	09/005479
Filing Date	January 12, 1998
First Named Inventor	Levergood et al.
Art Unit	2145
Examiner Name	Patrice L. Winder
Attorney Docket Number	432383800013

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cts No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date/Date of Patent MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Column, Lines, Where Relevant Passages or Relevant Figures Appear
plw		4305069	12/18/1981	Benton	
		4528643	7/9/1985	Freeny, Jr.	
		4529870	7/18/1986	Chaum	
		4734858	3/29/1988	Schlaity	
		4755940	7/6/1988	Bracht et al.	
		4758063	7/18/1988	Chaum	
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		4775935	10/4/1988	Yourick	
		4795890	1/3/1989	Goldman	
		4799158	1/17/1989	Shavit et al.	
		4812828	3/14/1989	Boston et al.	
		4827508	5/2/1989	Shear	
		4891503	1/2/1990	Jewell	
		4922521	5/1/1990	Krikke et al.	
		4926480	5/15/1990	Chaum	
		4935870	6/10/1990	Burk Jr., et al.	
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		4972318	11/20/1990	Brown et al.	
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		5305195	4/18/1994	Murphy	
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		5383113	1/17/1995	Kight et al.	
		5414833	5/9/1995	Hershey et al.	
plw		5475566	12/12/1995	Bush	

Examiner Signature

Patrice L. Winder

Date Considered 1-8-07

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U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.*	Document Number	Publication Date/Date of Patent MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code* (if known)			
<i>plur</i>		5521631	5/28/1998	Budow et al.	
		5535226	7/8/1998	Hahn Jr., et al.	
		5557516	9/17/1998	Hogan	
		5557518	9/17/1998	Rosen	
		5557798	9/17/1998	Skeen et al.	
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		5604802	2/18/1997	Holloway	
		5621797	4/15/1997	Rosen	
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		5642419	6/24/1997	Rosen	
		5664110	9/2/1997	Green et al.	
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		5708780	1/13/1998	Levergood et al.	
		5724424	3/3/1998	Gifford	
		5727184	3/10/1998	Kaye et al.	
		5734719	3/31/1998	Tsavdoss et al.	
		5808077	9/08/1998	Wecker	
		5812778	9/22/1998	Gifford	
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		5920847	7/8/1999	Kotting et al.	
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		6023683	2/8/2000	Johnson et al.	
		6041316	3/21/2000	Alien	
		6049785	4/11/2000	Gifford	
		6105648	2/27/2001	Gifford	
		6109051	3/8/2001	Gifford	
		6205437	3/20/2001	Gifford	
		6440599	9/10/2002	Payne et al.	
Examiner Signature	<i>Patrice L. Winder</i>			Date Considered	1-8-07

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				Attorney Docket Number	432383600013

## FOREIGN DOCUMENTS:

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>2</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
plur	0172670EP	2/26/1986	Technion Research & Development Foundation			
plur	GB 2102608	2/2/1983	National Research Development Corporation			
plur	JP 410191	1/1992				
plur	JP 05-156983	6/25/1993	Omron Corp.			
plur	WO 91/16691	10/31/1991	Jonhig Limited			
plur	WO 93/10503	5/27/1993	Citibank N.A.			

## OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.		T <sup>2</sup>
		PLEADINGS:		
plur		Amazon.com's Reply in Support of Renewed Motion to Stay Deposition of G. Winfield Treese, dated October 27, 2004.		→
plur		Deposition of Glenn Arthur Hauman with Exhibits (October 28, 2004)		→
plur		Joint Claim Construction Chart (Patent Local Rule 4-5D), filed December 27, 2004 with Appendix A		→
plur		Memorandum Opinion dated April 7, 2005		→
plur		Motion to Stay (Renewed) by Amazon.com. (Attachments: # 1 Affidavit # 2 Text of Proposed Order)(Nelson, Justin) (Entered: 04/05/2005)		→
plur		Notice by Amazon.com re Answer to Amended Complaint, Counterclaim Of Rejection Of Claims 1-45 Of U.S. Patent No. 5,708,780		→
plur		Order Denying Amazon's Motion to Stay Proceedings Pending Completion of the Reexamination.		→
plur		Soverain's Disclosure of Asserted Claims and Preliminary Infringement Contentions dated June 3, 2004.		→
plur		Soverain's Opposition to Amazon's Renewed Motion to Stay		→
plur		Soverain's Reply to Amazon.Com's Amended Counterclaims, dated January 14, 2005.		→
plur		Soverain's Reply to Response to Motion re: Motion to Stay		→
plur		Soverain's Answer to Counterclaim (Amazon's Third Amended Counterclaim) by Soverain Software LLC.(Serafina, Jennifer) (Entered:03/17/2005)		→
plur		Soverain's Fourth Supplemental Responses to Amazon's First Set of Interrogatories (Nos. 1-14) dated March 21, 2005		→
plur		Soverain's Responses to Amazon's First Set of Requests for Admission to Plaintiff Soverain Software (Nos. 1-100) dated March 21, 2005		→
plur		Soverain's Responses to Interrogatory Nos. 22, 23, 26 and 36 of Amazon's Third Set of Interrogatories (Nos. 17-38) dated March 21, 2005		→
plur		Third Supplement to Defendant Amazon's Initial Disclosures, dated March 4, 2005.		→
plur		Transcript of the Markman Hearing Before the Honorable Leonard David United States District Judge, January 6, 2005.		→
plur		VideoTaped Deposition of Andrew Payne dated March 11, 2005.		→
plur		VideoTaped Deposition of Glenn Crocker with Exhibits (March 10, 2005)		→
plur		VideoTaped Deposition of Glenn Trewitt dated January 25, 2005 (2 parts).		→
plur		VideoTaped Deposition of Mark Levergood dated March 8, 2005 (2 Parts).		→
plur		VideoTaped Deposition of Stephen Morris dated March 9, 2005.		→
plur		Patrice F. Winder	Date Considered	1-8-07

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				First Named Inventor	Levergood et al.
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				Attorney Docket Number	432383800013
<p><i>plus</i></p> <p>Amazon.com, Inc.'s Unopposed Motion for Leave to Amend Its Answer to Include Allegations Regarding Stuff.com</p> <p>Amazon.com's Motion for Partial Summary Judgment that claims are indefinite under 35 U.S.C. 112</p> <p>Amazon.com's Motion for Partial Summary Judgment that '314 claims 34-39, '482 claims 17-18 and 35-38, and '780 claims 1, 4, and 22-24 are invalid under 35 U.S.C. 102</p> <p>Declaration of James E. Gerlinger in Support of Amazon.com, Inc.'s Motion for Leave to Amend Its Answer and Counterclaims to Add Stuff.com</p> <p>Deposition of Glenn M. Trewitt with Exhibits (January 25, 2005)</p> <p>Deposition of Joshua Smith with Exhibits (March 2, 2005)</p> <p>Deposition of Michael Lazzaro with Exhibits (March 9, 2005)</p> <p>Deposition of Thomas Scoville with Exhibits (March 14, 2005)</p> <p>Exhibit 1 of Gerlinger Declaration: Excerpts of Deposition of Michael Kuniavsky</p> <p>Exhibit 2 of Gerlinger Declaration: E-mail from Brooks Cutler to Mike Kuniavsky (June 14, 1994)</p> <p>Exhibit 3 of Gerlinger Declaration: Excerpts of Deposition of Richard Boake</p> <p>Exhibit 5 of Gerlinger Declaration: Excerpts of Deposition of Andrew Payne</p> <p>Exhibit 6 of Gerlinger Declaration: E-mail from Andrew Payne to Winfield Treese, et al. (June 15, 1994)</p> <p>Exhibit 7 of Gerlinger Declaration: Excerpts of Deposition of Winfield Treese</p> <p>Exhibit 8 of Gerlinger Declaration: Amazon.com, Inc.'s [Proposed] fourth Amended Answer, Affirmative Defenses, and Counterclaims to Sovarain Software, LLC's Complaint (Redlined Version)</p> <p>Supplemental Disclosure of Preliminary Invalidity Contentions by Amazon and Gap dated July 26, 2004</p> <p>Videotaped Deposition of Guy Henry Timothy Haskin with Exhibits (March 18, 2005)</p> <p>Videotaped Deposition of Kevin Ming-Wei Kadala Hughes with Exhibits (March 21, 2005)</p> <p>Videotaped Deposition of Michael Kuniavsky with Exhibits (February 22, 2005)</p> <p>Videotaped Deposition of Phillip Hallam-Baker with Exhibits (March 11, 2005)</p> <p>Videotaped Deposition of Robert Allen Olson with Exhibits (March 3, 2005)</p> <p><b>PUBLICATIONS:</b></p> <p>"Advanced Electronic Credit Authorization Through the Amherst Group SNET", News Release, pp. 1-2.</p> <p>"CompuServe Videotex Network Offers Marketing Research Service, Ad Test," Marketing News, Nov. 25, 1983, p. 21.</p> <p>"Electronic In-Home Shopping: 'Our Stores are Always Open,'" Chain Store Age Executive, Mar. 1985, pp. 111,116.</p> <p>"Mall Offers Holiday Treat for Hackers," Advertising Age, Nov. 13, 1985, p. 76.</p> <p>"Redcoats Join Communications Fight," Industry Week, Feb. 22, 1982, pp. 108-109.</p> <p>"Suddenly, Videotex is Finding an Audience," Business Week, Oct. 18, 1982, pp. 92-94.</p> <p>"Taking Advantage of the Past," Advertising Age, Apr. 11, 1983, pp. M36-37.</p> <p>Allen &amp; Hamilton, How to Buy Information with a First Virtual Account, Apr. 11, 1984, pp. 3-71.</p> <p>American National Standard: "Financial Institution Retail Message Authentication": ANSI X9.18-1986.</p> <p>American National Standard: "Interchange Message Specification for Debit and Credit Card Message Exchange Among Financial Institutions": ANSI X9.2-1988.</p> <p>Anderson, Ross J.: "UEPS-A Second Generation Electronic Wallet"; Proc. of the Second European Symposium on Research in Computer Security (ESORICS); Toulouse, France; pp. 411-418, no date.</p> <p>Bender, M.: "EFTS: Electronic Funds Transfer Systems"; Kennikat Press; Port Washington, New York; pp. 43-48; 1975.</p> <p>Beutelspacher, et al. "Payment Applications with Multifunctional Smart Cards," Smart Card 2000: The Future of IC Cards, Oct. 1987, pp. 95-101.</p> <p>Bos et al.; "SmartCash: A Practical Electronic Payment System"; pp. 1-8; Aug. 1990.</p> <p>Burk et al.; "Value Exchange Systems Enabling Security and Unobservability"; Computers &amp; Security, 9; pp. 715-721; 1990.</p> <p>Burk, et al. "Digital Payment Systems Enabling Security and Observability," Computers &amp; Security, 1989, pp. 399-415.</p> <p><i>plus</i></p> <p>Examiner Signature <i>Patrice L. Winder</i></p>					
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<i>plus</i>	<p>Case Study: The CIRRUS Banking Network; Comm. ACM 8, 28' pp. 797-8078; Aug., 1985.</p> <p>CCITT Blue Book, vol. VIII: pp. 48-81, Nov. 14-23, 1988.</p> <p>Chaum et al.: "Untraceable Electronic Cash"; Advances in Cryptology; pp. 319-327; 1988.</p> <p>Cohen, Danny; "Computerized Commerce"; ISI Reprint Series ISRS-89-243; Oct., 1989; Reprinted from Information Processing 89, Proceedings of the IFIP World Computer Congress, held Aug. 28-Sep. 1 1989.</p> <p>Cohen, Danny; "Electronic Commerce"; University of Southern California Information Sciences Institute, Research Report ISVR-89-244; Oct., 1989.</p> <p>Computerwave International; Compuserve Information Service Users Guide; pp. 109-114; 1988.</p> <p>Computer Fraud &amp; Security Bulletin; "Underlying Security Mechanisms"; Mar. 1997.</p> <p>Computer Shopper; "Internet for Profit"; pp. 180-182, 187, 190-192, 522-528, 532, 534; Nov. 1994.</p> <p>Consumers Placing Into New Electronic Mail; Advertising Age; Mar. 4, 1985, p. 74.</p> <p>Damgard, "Payment Systems and Credential Mechanisms with Provable Security Against Abuse by Individuals"; Advances in Cryptology—CRYPTO '88, 1988, pp. 328-325.</p> <p>Davies, D.W. and Price, W.L.; "Security for Computer Networks: An Introduction to Data Security in Teleprocessing and Electronic Funds Transfer"; John Wiley &amp; Sons; Dec. 5, 1985; pp. 304-336.</p> <p>Dukach, Semyon; "SNPP: A Simple Network Payment Protocol"; MIT Laboratory for Computer Science; Cambridge.</p> <p>Even et al.; "Electronic Wallet"; pp. 383-388; 1983.</p> <p>Ferrarini, "Direct Connections for Software Selections"; Business Computer Systems, Feb. 1984, pp. 35-38.</p> <p>Fujio, et al., "ESIGN: An Efficient Digital Signature Implementation for Smart Cards"; Advances in Cryptology—Eurocrypt '91, Apr. 1991, pp. 446-457.</p> <p>Gifford, David K.; "Cryptographic Sealing for Information Secrecy and Authentication"; Stanford University and Xerox Palo Alto Research Center; Communications of the ACM; vol. 25, No. 4; Apr., 1982.</p> <p>Hakola, et al., "A System for Automatic Value Exchange"; Proceedings—Fall Joint Computer Conference, 1988, pp. 579-589.</p> <p>Harty et al.; "Case Study: The VISA Transaction Processing System"; 1988.</p> <p>Information Network Institute, Carnegie Mellon University; Internet Billing Server; Prototype Scope Document; Oct. 14, 1993.</p> <p>International Organization for Standardization; "International Standard: Bank Card Originated Messages—Interchange Message Specifications—Content for Financial Transactions"; ISO 8583; 1987.</p> <p>Intuit Corp Quicken User's Guide; "Paying Bills Electronically"; pp. 171-192; no date.</p> <p>Jansson, Lennart; "General Electronic Payment System"; 7th Proceedings of the International Conference on Computer Communication; pp. 832-837; 1985.</p> <p>Kenny, "EDI Security: Risks and Solutions"; COMPSEC 1992; The Ninth World Conference on Computer Security, Audit, and Control; Nov. 1992; pp. 341-352.</p> <p>Knapakog, Privacy Protected Payments—Realization of a Protocol That Guarantees Payor Anonymity; Advances in Cryptology—Eurocrypt '88, May 1988, pp. 107-122.</p> <p>Krajewski, M. et al.; "Applicability of Smart Cards to Network User Authentication"; Computing Systems; vol. 7, No. 1; 1994.</p> <p>Krajewski, M.; "Concept for a Smart Card Kerberos"; 15th National Computer Security Conference; Oct., 1992.</p> <p>Krajewski, M.; "Smart Card Augmentation of Kerberos"; Privacy and Security Research Group Workshop on Network and Distributed System Security; Feb., 1993.</p> <p>Lai et al., "Endorsements, Licensing, and Insurance for Distributed System Services"; Information Sciences Institute Univ. of Southern CA, Assoc. for Computing Machinery 1994.</p> <p>Low et al.; "Anonymous Credit Cards"; pp. 1-18.</p> <p>Medvinsky et al.; "Electronic Currency for the Internet"; Electronic Markets; pp. 30-31, Sep., 1993.</p> <p>Medvinsky et al.; "NetCash: A Design for Practical Electronic Currency on the Internet"; Proc. 1st ACM Conf. on Comp. and Comm. Security; Nov., 1993.</p> <p>Messmer, "NIST Stumbles on Proposal for Public Key Encryption"; Network World, Jul. 27, 1992, p. 1.</p> <p><i>plus</i> National Westminster Bank Group; "Clearing House Automated Payments System"; pp. 1-29, no date.</p>				
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<i>plw</i>	Needham, Roger M., "Adding Capability Access to Conventional File Servers"; Xerox Palo Alto Research Center, Palo Alto, California; no date.				
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<i>plw</i>	Archive of WWWonder mailing list (8/18/1994 - 6/13/1994)				
Examiner Signature	<i>Patrice L. Winder</i>			Date Considered	1-8-07

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
*(use as many sheets as necessary)*

Sheet

7

of

8

**Complete If Known**

Application Number	09/005479
Filing Date	January 12, 1998
First Named Inventor	Levergood et al.
Art Unit	2145
Examiner Name	Patrice L. Winder

Attorney Docket Number

432383600013

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Examiner  
Signature*Patrice L. Winder*Date  
Considered. *I-B-07*

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Application Number	08/005478
Sheet	8	of	8	Filing Date	January 12, 1998
				First Named Inventor	Levergood et al.
				Art Unit	2145
				Examiner Name	Patrice L. Winder
				Attorney Docket Number	432383800013
<i>plus</i>				Hughes, Kevin, source code file for the HTTP log file analysis program, getstats v1.0, dated February 1, 1994, published at <a href="http://elit.com/software/getstats/getstats.html">http://elit.com/software/getstats/getstats.html</a> - Version 1, 64 pages.	
				Hughes, Kevin, source code file for the HTTP log file analysis program, getstats v1.0, dated February 1, 1994, published at <a href="http://elit.com/software/getstats/getstats.html">http://elit.com/software/getstats/getstats.html</a> - Version 2, 64 pages.	
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<i>plus</i>				Trawitz, Glenn, "Using Tel to Process HTML Forms", Digital Equipment Corporation, Network Systems Laboratory TN-14, dated March 1994.	
<i>plus</i>				Trip et al., "Cookies" (client-side persistent information) and their use, Netscape Technical Note 20019, Netscape Communications Corp., October 1995.	
<i>plus</i>				www talk mailing list: Truth message September 15, 1994	
<i>plus</i>				wwwStat Readme file at <a href="http://ftp.cs.uci.edu/pub/websoft/wwwstat/README">http://ftp.cs.uci.edu/pub/websoft/wwwstat/README</a>	
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